



Patent Application

Attorney Docket No. DEM1P007

3623

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: NEAL et al.

Attorney Docket No.: DEM1P007

Application No.: 09/888,340

Examiner: Robinson Boyce, Akiba K.

Filed: June 22, 2001

Group: 3623

Title: PRICE OPTIMIZATION WITH RULE  
RELAXATION

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JUL 16 2004

**GROUP 3600**

Mail Stop: Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

July 9, 2004

Dear Sirs:

**Certificate of Mailing**

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as First  
Class Mail to: Commissioner for Patents, P.O. Box 1450,  
Alexandria, VA 22313-1450 on July 9, 2004.

Signed: \_\_\_\_\_

Kang S. Lim

**INFORMATION DISCLOSURE STATEMENT FILED**

**UNDER 37 C.F.R. §§ 1.56 AND 1.97(b)**

Pursuant to 37 C.F.R. § 1.56, Applicants bring the following documents to the  
Examiner's attention in the referenced application.

Citation of the above documents shall not be construed as an admission that the  
documents are necessarily prior art with respect to the referenced application. Furthermore,  
citation of the above documents shall not be construed as a representation that a search has been  
made or an admission that the information cited herein is, or is considered to be, material to  
patentability as defined in 37 C.F.R. § 1.56(b).

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted  
under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

X 37 C.F.R. § 1.97(b). This Information Disclosure Statement is: (i) filed within three (3) months of the filing date of the above-referenced application, (ii) believed to be filed before the mailing date of a first Office Action on the merits or, (iii) believed to be filed before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement.

\_\_\_ 37 C.F.R. § 1.97(c). This Information Disclosure Statement is filed after the period specified in C.F.R. § 1.97(b), but is believed to be filed before the mailing date of either (i) a final action under § 1.113 or, (ii) a notice of allowance under § 1.311.

\_\_\_ A certification pursuant to 37 C.F.R. § 1.97(e) or

\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

If the Examiner has any questions or comments with respect to the present application, the Examiner is respectfully invited to telephone the undersigned at (925) 570 8198. The Commissioner is authorized to charge any additional fees that may be due to our Deposit Account No. 50-2766 (Order No. KL-DEM1P007).

**LAW OFFICES OF KANG S. LIM**  
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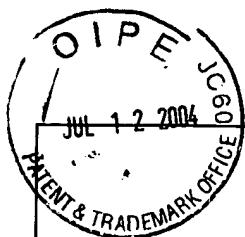
Respectfully submitted,



Kang S. Lim  
Attorney for Applicant(s)  
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**CUSTOMER NO. 36088**

\\KSL IDS d

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
DEM1P007SERIAL NO.  
09/888,340LIST OF DOCUMENTS CITED BY APPLICANT  
TO COMPLY WITH 37 C.F.R. 1.56

APPLICANT

NEAL

FILING DATE  
06/22/01GROUP  
3623

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,725,208	04/20/2004	Hartman et al.			
	AB	6,341,269	01/22/2002	Dulaney et al.			
	AC	5,377,095	12/27/1994	Maeda et al.			

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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	BA	Alan L. Montgomery and Peter R. Rossi, "Estimating Price Elasticities with Theory-Based Priors," Journal of Marketing Research Vol. XXXVI, November 1999 (pp 413-423).
	BB	Boatwright, Peter et al., "Account-Level Modeling for Trade Promotion: An Application of a Constrained Parameter Hierarchical Model," Journal of the American Statistical Association, Vol. 94, No. 448, December 1999 (pp 1063-1073).
	BC	Alan L. Montgomery, "Creating Micro-Marketing Pricing Strategies Using Supermarket Scanner Data," Marketing Science, Vol. 16, No. 4, 1997 (pp 315-337).
	BD	Robert C. Blattberg and Edward I. George, "Shrinkage Estimation of Price and Promotional Elasticities: Seemingly Unrelated Equations," Journal of the American Statistical Association, Vol. 86, No. 414, June 1991 (pp 304-315)
	BE	Arnold Zellner, "On Assessing Prior Distribution sand Bayesian Regression Analysis With G-Prior Distributions," Elsevier Science Publishers, 1986 (pp 233-243)
	BF	A.F.M. Smith, "A General Bayesian Linear Model," University of Oxford, April 1972.
	BG	D.V. Lindley and A.F.M. Smith, "Bayes Estimates for the Linear Model," University College, December 1971.
	BH	George C. Tiao and Arnold Zellner, "On the Bayesian Estimation of Multivariate Regression," University of Wisconsin, January 1964.
	BI	Arnold Zellner, "An Efficient Method of Estimating Seemingly Unrelated Regressions and Tests for Aggregation Bias," University of Wisconsin, June 1962.

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.